

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of	)	
	)	
Giuseppe DI SILVESTRO et al	)	Group Art Unit: 1714
	)	
Application No.: 09/462,381	)	Examiner: K. Wyrozebski-Lee
	)	
Filed: March 27, 2000	)	Confirmation No.: 5018
	)	
For: THERMOPLASTIC	)	
COPOLYAMIDE, COMPOSITION	)	
BASED THEREON	)	

**DECLARATION PURSUANT TO 37 C.F.R. §1.132**

Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

I, Dr. Giuseppe Di Silvestro, declare and state as follows:

(1) I have been employed by Universita' Degli Studi di Milano in Organic and Industrial Chemistry since November of 1972. My current title is Associate Professor of the Organic and Industrial Chemistry Department.

(2) I was awarded a chemistry degree from State University of Milano.

(3) My Curriculum Vitae, Research Experience and list of publications are attached hereto as Appendix I.

(4) I am aware that the Examiner in the above-identified application has concluded that claims 17-21, 23 and 25-29 are anticipated by Aharoni (U.S. Patent No. 5,480,944), that claims 24 and 30 are unpatentable over Aharoni in view of Fisch (U.S. Patent No. 5,760,163), that claims 1-5 and 7-9 are unpatentable over Aharoni in view of Meyer (U.S. Patent No. 4,255,560) and that claims 10-14 are unpatentable over Aharoni in

view of Meyer, and further in view of Fisch. For at least the reasons that follow, I disagree with the Examiner's conclusions.

(5) Based on my educational and professional experience in the field of chemistry, I am qualified to attest to the accuracy of the results of a comparative test, described below, which demonstrates that the thermoplastic polyamide according to the above-identified invention differs significantly from the polyamide of U.S. Patent No. 5,480,944 (hereinafter referred to as Aharoni). That is, the comparative test, described below, demonstrates that the polyamide of the above-identified invention differs significantly from the polyamide of Aharoni in terms of its molecular structure, composition, rheological characteristics and mechanical properties.

**(6) Description of Aharoni Polymers**

Aharoni relates to polyamide blends including one branched fractal polymer (FP) and linear polymers. In order to interpenetrate the linear polymer chains into three dimensional fractal polymer species, the fractal polymer should have the following characteristics:

- (1) it should not be reactive with the end groups of the linear polymer in the polymeric matrix under preparation conditions;
- (2) it should be "porous";
- (3) the linear and fractal polymers must be compatible (i.e., having the same or very close solubility parameters).

**6a). Synthesis and Characterization of Fractal Polymer**

In the comparative test, I synthesized a fractal polymer representative of the *Aharoni* polyamide by reacting one or more nucleus precursor monomers,  $(Z_1)_a-R_1-(Z_2)_b$ , and one or more branching precursor monomers,  $(Z_1)_c-R_2-(Z_2)_d$ , in an aprotic solvent and in the presence of effective amounts of phosphite compounds and a base. The variables a and b are different and are integers, equal to 0 or  $\geq 3$ , with the proviso that a or b is 0. The variables c and d are different and are integers  $\geq 1$ , with  $(c+d) \geq 3$ .  $Z_1$  is -OH or -NH<sub>2</sub> and  $Z_2$  is COOH or -N=C=O. More preferred function groups are -NH<sub>2</sub> for  $Z_1$  and -COOH for  $Z_2$ .

The structure and degree of branching are controlled by the relative values of a, b, c and d. The greater the value of a, b, c and d, the greater the degree of branching and the more rigid the fractal polymer obtained.

The porosity of the fractal polymer depends on the average distance between branch points in the arms of the fractal polymers. For increased porosity, a difunctional extension monomer can be used. The extension monomers are of the formulas:  $Z_1-R_3-Z_2$ ,  $Z_1-R_3-Z_1$ , or  $Z_2-R_3-Z_2$ .

When the nuclei monomer, branching monomer and extension monomer are  $R_1A_3$  (trimesic acid),  $A_2R_2B$  (5-aminoisophthalic acid) and  $AR_3B$  (p-aminobenzoic acid) respectively, the two-dimensional representation of the fractal polymer is shown in Figure 1.

Synthesis of fractal polymers is carried out in an aprotic solvent like dimethylacetamide at temperatures in the range of 85-150°C. In addition, the reaction

requires the presence of an organic base, such as pyridine, and one or more phosphite compounds as activating agents.

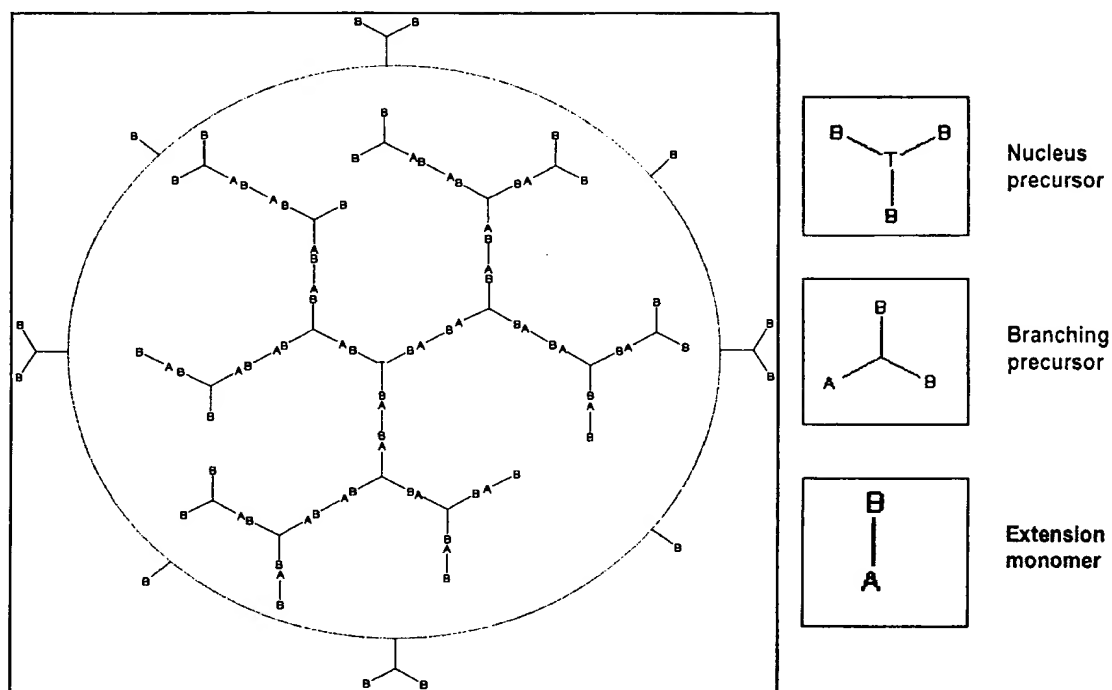


Figure 1. Topology of Aharoni Fractal Polymer

**6b). Blends of Fractal Polymer with Linear Polyamide**

The fractal polymers described in Aharoni are rigid and cannot be used as thermoplastic polymers by themselves. However, the porosity of the fractal polymer

allows linear polymer chains to pass through and interpenetrate with the fractal polymer.

The claimed amount of linear matrix polymer is between 50% and 99% by weight.

Blends can be obtained by various methods including melt extrusion, batch melting, solution/precipitation, etc. The characteristics of the Aharoni blend include increased Young's modulus, yield strength and glass transition temperatures ( $T_g$ ). Decreased solution and melt viscosities are also disclosed.

**7. Description and Characteristics of the Polyamide of the Present Application**

The above-identified patent application discloses a thermoplastic polyamide with a high melt viscosity. The polyamide has a structure of the random-tree type obtained by polymerization of at least two monomers: a branching monomer  $(Z_1)_a-R_1-(Z_2)_b$  and a difunctional monomer  $Z_1-R_2-Z_2$ , where  $Z_1$  and  $Z_2$  are  $-NH_2$  and  $-COOH$  respectively and  $a$  and  $b$  are integers. Optionally, the use of a monofunctional monomer as a chain regulator is defined in the claims.

It should be noted that the claimed composition is neither disclosed nor suggested by Aharoni. In particular, the nucleus precursor monomer present in the composition of Aharoni is not claimed in the present application.

The degree of branching (DB) in the claimed polyamide depends on the values of  $a$  and  $b$  and the mole ratio between the two monomers. In general, DB increases when the values of  $a$  and  $b$  and the mole ratio of  $(Z_1)_a-R_1-(Z_2)_b/Z_1-R_2-Z_2$  are increased.

In the case of  $(Z_1)_z-R_1-(Z_2)_b = A_2-R_1-B$  and  $Z_1-R_2=A-R_2-B$ , the structure of this tree-type copolymer is shown in Figure 2.

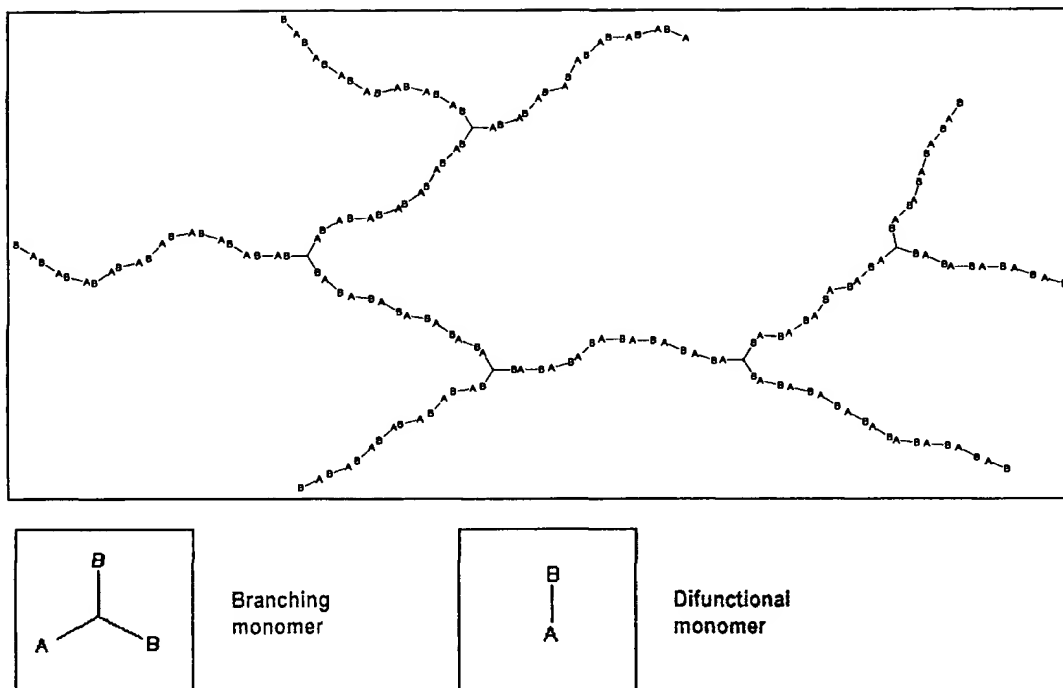


Figure 2. Topology of the claimed polyamide.

The synthesis of the polyamide is carried out by adding a predetermined amount of branching monomer into the reaction mass of  $\epsilon$ - caprolactame in a conventional process for preparing Nylon6.

#### **COMPARATIVE EXPERIMENTAL ANALYSIS OF PRODUCTS**

##### **8) Preparation of Fractal Polymer According to Aharoni**

According to Example I of Aharoni (see Aharoni, column 14, line 55), 350 grams of so-called AB-type fractal polyamide were synthesized and coded A2105-78B. By

referring to Figure 1, the prepared fractal polymer corresponds to a 4-5-th generation of a Tomalia dendrimer.

**9) Preparation of AB-Fractal and Nylon6 Blends, According to Aharoni**

Blends were prepared using two different methods:

**a) *Dissolution and Precipitation Method (see Aharoni at column 18, line 10)***

Three different blends were prepared by dissolving fractal polymer and linear Nylon 6 by precipitation in cold methanol. Blends containing 0.3 % (SB 0.3 %), 2.0 % (SB 2.0 %) and 7.0 % (w/w) of 5-aminisophtalic acid (AIA) (SB 7.0 %) were prepared. The sample containing 7.0 % of AIA corresponds to a 12.5 % (w/w) of fractal polymer in linear polyamide. In Aharoni, this sample exhibited the best properties. The composition containing 0.3 % AIA was chosen in order to compare it directly to a reference composition of the above-identified patent application including the same amount of AIA in percentage.

**b) *Compounding by single screw extrusion method (Goeffert Type/Kom 015/6768)***

Two samples (0.3 % and 7.0 % AIA) were prepared in the following conditions:

bl) 0.3 % of AIA. Temperature profile: 261-266-267-272-277 °C; screw rate = 75 rpm; moment = 130 (FP 0.3 %).

b2) 7.0 % of AIA; Temperature profile: 261-266-266-273-275; screw rate = 75 rpm; moment = 155 (FP 7.0 %).

**10) Preparation of a tree-branched Nylon 6 According to the Present Application**

Two samples (129199 and 7303099) of tree-branched Nylon 6 were prepared in accordance with the present application having the following composition:

- CPL (Caprolactam) = 99.7 %
- AIA (5-amino-isophthalic acid) = 0.3 %

Both samples were batch polymerized in mass in the classical conditions of Nylon 6 synthesis as described in the present application: CPL + AIA were added with 5% water and heated 12 hours at 270°C under N<sub>2</sub>.

**11) Molecular Characterization of Polymers**

Table 1 below presents the molecular masses and molecular mass distribution of the linear Nylon 6 used in the blend's preparation and of two tree-branched Nylon 6 samples provided by RHODIA (7303099 and 7129199). Size Exclusion Chromatography (SEC) analyses were performed, after N-trifluoroacetylation, in dry CH<sub>2</sub>Cl<sub>2</sub> as eluent.

According to data disclosed in Aharoni and in agreement with its rigid structure, the fractal polymer is insoluble in these conditions and cannot be analyzed by SEC.



Table 1: SEC analysis of N-trifluoroacetylated samples.

Sample	Mn	Mw	Mz	D	Dz
Linear	17280	34455	52128	1.994	1.513
7303099	23769	48601	77249	2.045	1.589
7129199	24118	49604	80074	2.057	1.614

#### (12) **Rheological Properties of Materials**

Figures 3 and 4 represent the rheological curves of Aharoni-type blends obtained by dissolution/precipitation (solution blends SB) performed using a rotoviscosimeter Physica MCR 300, at 230° and 250°C, respectively, and compared with a pure linear polyamide and with a "RHODIA type" tree-branched Nylon 6 (sample 7303099).

Figure 5 represents rheological curves of blends of the same composition obtained by extrusion performed at 250°C by a capillary viscosimeter Goeffert WinRHEO V3.22. A comparison with a pure linear Nylon 6 and a "RHODIA-type" tree-branched Nylon 6 (sample 7303099) is again present.

The effect of different macromolecular architecture is clearly seen in all the figures. The presence of fractal polymer decreases the viscosity of the blend as disclosed in Aharoni while the melt viscosity of the tree-branched Nylon-6 is strongly increased, in agreement with RHODIA's claims. The strong effect of the molecular architecture on the melt

viscosity can be evaluated by comparing curves of the tree-branched polyamide and of the blend with the same AIA content (0.3%).

In addition, the slope shape observed at 230°C in the 7.0 % solution blend and, more clearly, at 250°C in 2% and 7.0% blends suggests that the fractal polymer is not completely soluble in the linear polymer.

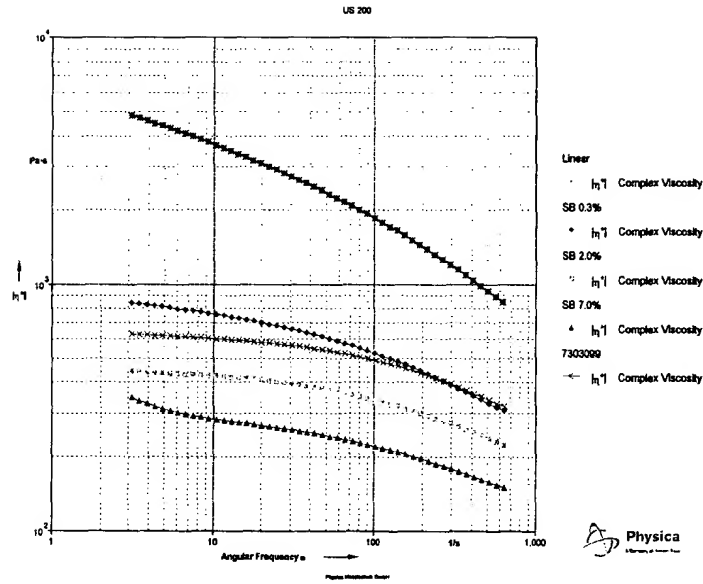


Figure 3. Rheological curves of solution blends at 230 °C.

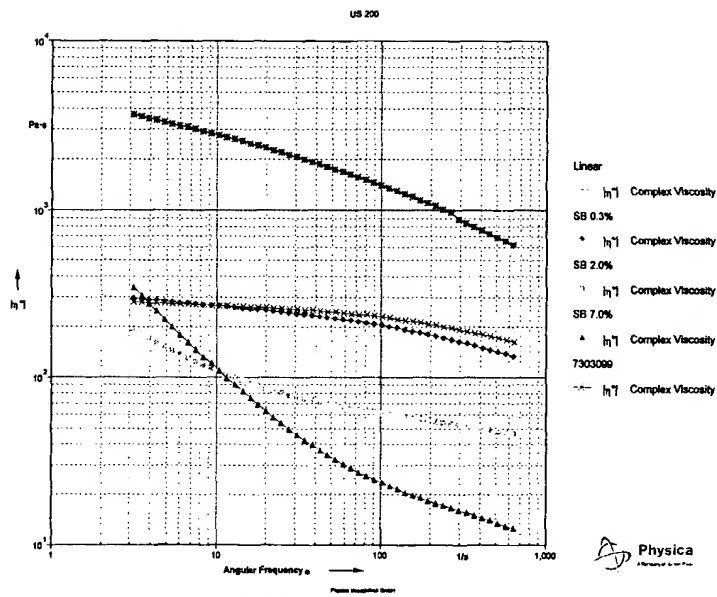


Figure 4. Rheological curves of solution blends at 250 °C.

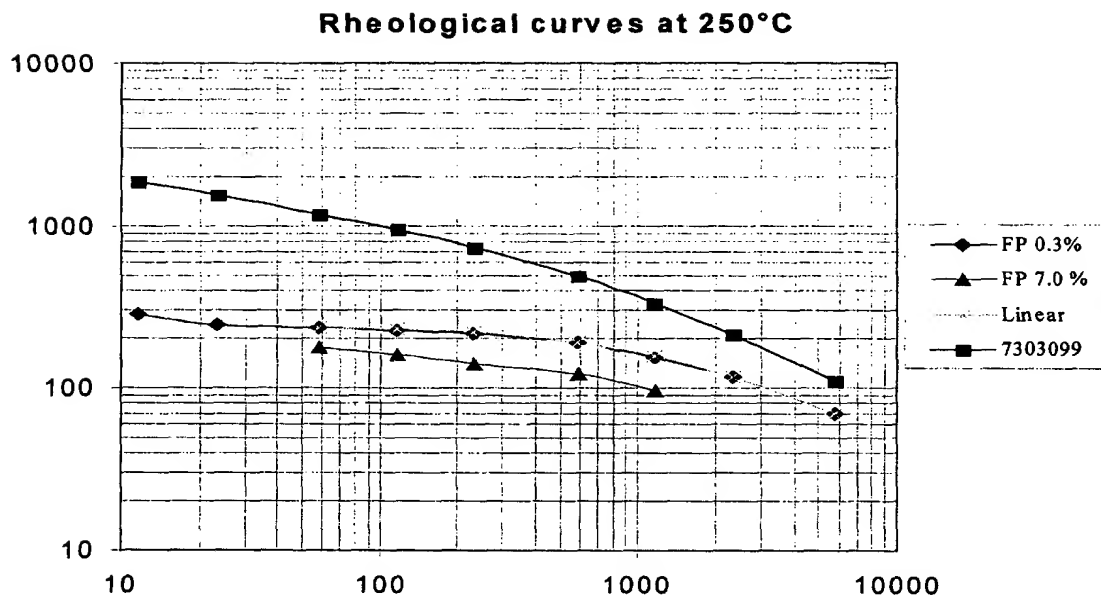


Figure 5. Rheological curves of melt blends at 250°C.

**(13) Morphology of the Blends**

Figure 6 compares the optical analyses of the Aharoni composition melt blend fractal polymer 7.0% (7.05% of AIA, equivalent to 12.5% of fractal polymer in the blend) and of a tree-branched "RHODIA type" polymer. The fractal component is visible as a separated phase in both UV-filtered and polarized light. In stark contrast, the "RHODIA type" polymer shows no sign of phase separation and has a homogeneous structure. This conclusion is confirmed by SEM analysis of fracture surface depicted in Figures 7 and 8. A loss in mechanical properties of the fractal blends should be linked to this poor compatibility.

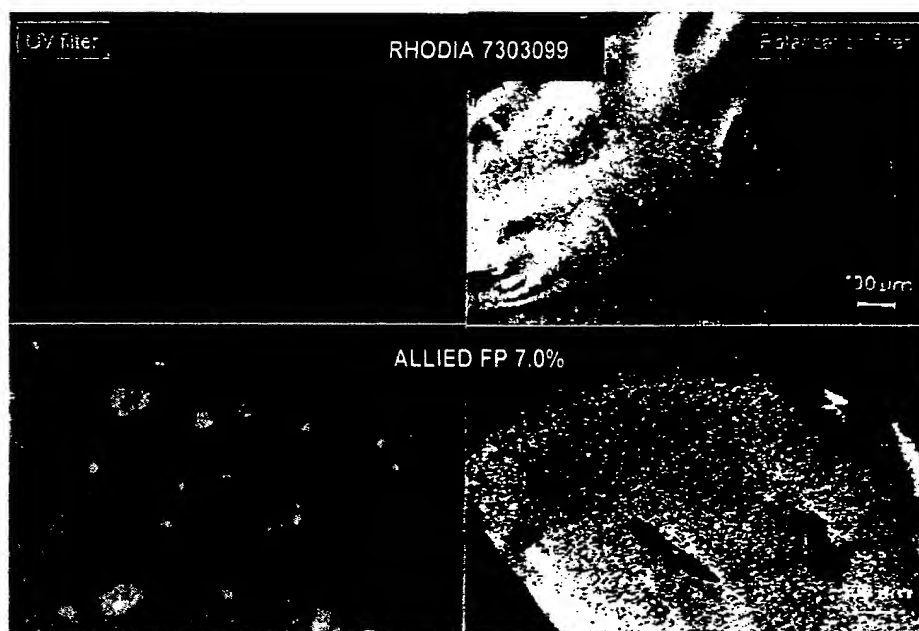


Figure 6. Pictures of a tree-branched RHODIA Nylon 6 and of an Aharoni blend.

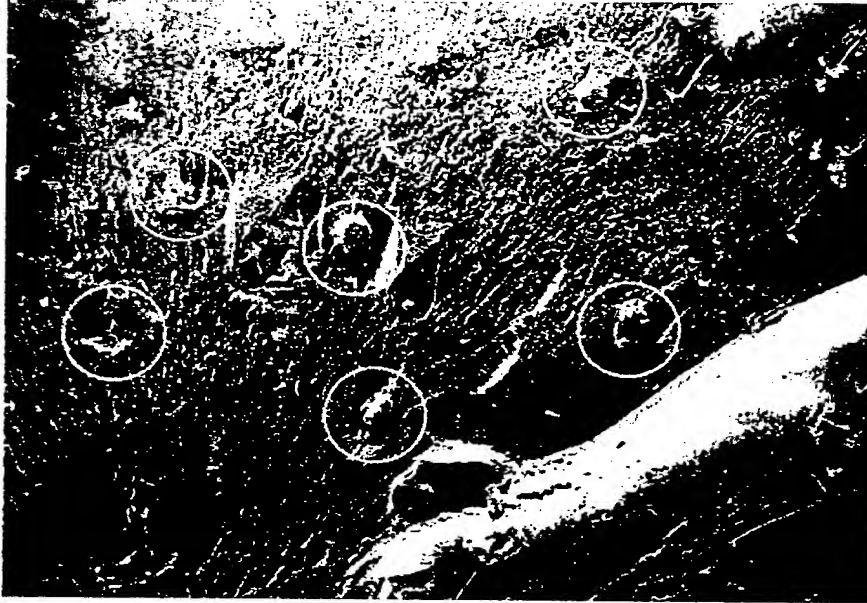


Figure 7. SEM pictures of the Aharoni polyamide blend FP 7.0%.

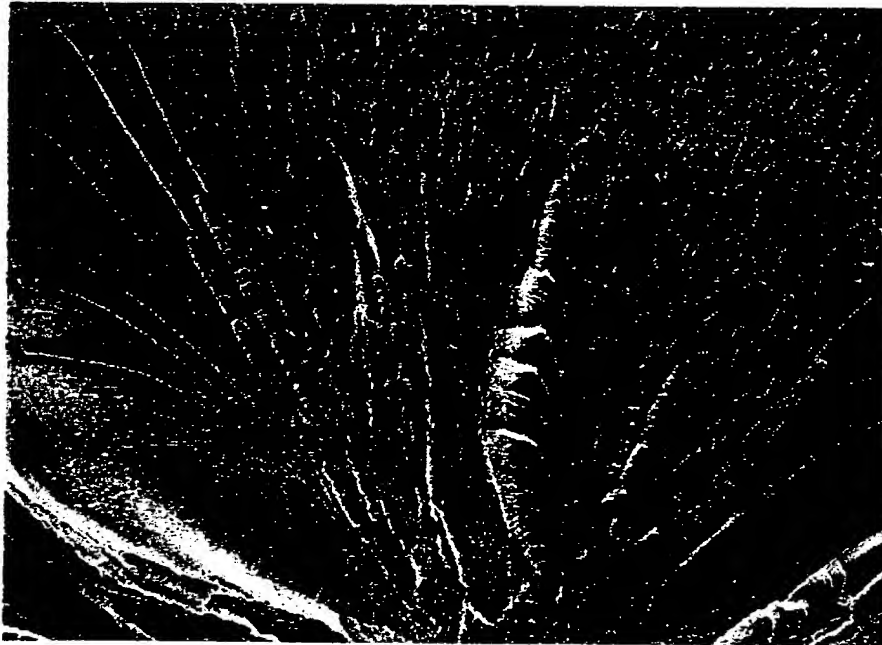


Figure 8. SEM picture of a tree-branched RHODIA Nylon 6.

**(14) Mechanical properties**

Table 2 compares the mechanical properties of the Aharoni-type blends and two lots of tree-branched Nylon 6 provided by RHODIA, vs linear nylon 6.

It is evident that the addition of fractal polymer in Nylon 6 produces a collapse of mechanical properties. To the contrary, the tree-branched RHODIA polymer strongly improves mechanical properties when compared with those of Nylon 6.

Table 2. Mechanical properties of linear polyamide, tree-polyamide and of fractal/polyamide blend.

Sample	Linear	FP 0.3 %	FP 7.0 %	7129199	7303099
M.I. 325 M.I. 1000	7,4	9,2	5,3-13,5 19,4	..... 4,1	..... 5,5
NH <sub>2</sub> (meq\Kg COOH (meq\Kg)	52 52			37 53	29,7 56,1
IZOD notched(Kj/m <sup>2</sup> )	5,2	3,1	2,6	6,6	6,9
Tensile elongation %	90	2	1,1	140	190
Tensile Modulus (N/mm <sup>2</sup> )	2850	2610	3060	2730	2980

**CONCLUSIONS**

The above comparative tests lead to the following conclusions:

a) the molecular structure and composition of the Aharoni fractal polymer and its blends with linear Nylon 6 are substantially different from the tree-branched RHODIA polymer claimed in the above-identified patent application;

b) The rheological characteristics of the Aharoni polymer and its blends are also substantially different from the claimed polymer. That is, the blends of Aharoni show a decreased melt viscosity (vs linear Nylon 6 viscosity) with increased fractal polymer amount, in agreement with what is disclosed in Aharoni. In stark contrast, the claimed polymers show an increased melt viscosity compared to linear Nylon 6; and

c) The Aharoni-type blends show biphasic structure, while the polymers of the above-identified patent application are monophasic and homogeneous in structure. This difference may also explain the substantial differences in the rheological and mechanical characteristics of the claimed polyamide as compared with the polyamide of Aharoni.

Therefore, in accordance with the knowledge obtained by the above comparative tests, I conclude:

1) the claims of the above-identified patent application and Aharoni are directed to two different topologies of polyamide macromolecules, which differ, at least in part, due to the different monomer combination and synthetic processes used;

2) because of these significantly different topologies, the claimed and observed properties of the claimed polyamide and the polyamide of Aharoni also differ significantly; and

3) the claimed tree-branched polyamide therefore is neither disclosed nor suggested by the fractal blend disclosed in Aharoni.

I HEREBY DECLARE that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and



further that these statements were made with the knowledge that willful, false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful, false statements may jeopardize the validity of the application or any patent issued thereon.

Date: \_\_\_\_\_

By: \_\_\_\_\_

Dr. Giuseppe Di Silvestro

**APPENDIX I**

**Curriculum Vitae and Scientific Activity  
of Prof. Giuseppe Di Silvestro**

CURRICULUM VITAE AND SCIENTIFIC ACTIVITY OF  
PROF. GIUSEPPE DI SILVESTRO

Prof. Giuseppe Di Silvestro, after his graduation in Chemistry (July 1970) reached the group of prof. Mario Farina at the "Istituto di Chimica Industriale" of the Politecnico di Milano directed, at that time, by prof. Giulio Natta.

In 1972 moved to the University of Milan. Since 1981 prof. Di Silvestro is Associated Professor in Industrial Chemistry.

Professor Di Silvestro is author of about 90 papers and of 200 communications at national and international meetings referring to different areas of organic and macromolecular chemistry.

Main areas of scientific interest are.

A) Stereospecific polymerization with cationic, anionic, Ziegler-Natta and inclusion radical polymerization in Perhydrotriphenylene (PHTP).

B) Control of molecular masses and of macromolecular architecture by different polymerization mechanisms (radical, anionic, etc.).

C) Study of polymer microstructure and of macromolecular architecture by NMR techniques.

D) Application of viscometry, SEC and LS in the study of solution polymer properties.

E) Study of thermal properties.

F) Rheology of complex architectures.

G) Theoretical Models of polymerization mechanism useful for the control of the microstructure and of the polymer architecture.

H) Determination of phase diagrams of binary mixtures forming inclusion compounds. Use of phase diagrams in the inclusion radical polymerization and in nano-channel synthesis for photooptical applications.

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